

12/19/01

12-26-01

Box 50 A

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1044-401-01  
First Inventor Narayan Srinivasa  
Title Method and Apparatus for Electronically Extracting Documents Potentially Containing Application Specific Multidimensional  
Express Mail Label No. ET 588797890 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 100]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
- ☒ Oath or Declaration [Total Pages 3]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_  
Prior application information Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)				or	<input checked="" type="checkbox"/> Correspondence address below
Name	William C. Cray					
Address	414 W. Fourth Street Suite A.					
City	Santa Ana	State	California	Zip Code	92701	
Country		Telephone	714-836-0200	Fax	714-836-0400	

Name (Print/Type)	William C. Cray	Registration No. (Attorney/Agent)	27,627
Signature		Date	12/19/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$)**3,440.00****Complete if Known**

Application Number	
Filing Date	
First Named Inventor	Narayan Srinivasa
Examiner Name	
Group Art Unit	
Attorney Docket No.	1044-401-01

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
101	710	201	355	Utility filing fee	370.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$)**370.00****2. EXTRA CLAIM FEES**

		Extra Claims		Fee from below		Fee Paid	
Total Claims	268	-20** =	248	X	9.00	=	2,232.00
Independent Claims	22	-3** =	19	X	42.00	=	798.00
Multiple Dependent							

Large Entity		Small Entity		Fee Description
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$)**3,030.00**

\*\*or number previously paid, if greater; For Reissues, see above

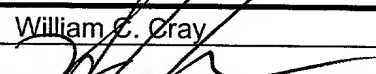
**FEE CALCULATION (continued)**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**40.00****SUBMITTED BY**

Name (Print/Type)	William C. Gray	Registration No. (Attorney/Agent)	27,627	Telephone	714-836-0200
Signature				Date	12/15/01

Complete (if applicable)

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CERTIFICATE OF MAILING UNDER 37 CFR § 1.10

Goodman & Leach, LLP  
414 Fourth Street, Suite A  
Santa Ana, CA 92701

Re: Utility Patent Application for: **Method and Apparatus for  
Electronically Extracting Application Specific Multidimensional Information from  
Documents Selected from a Set of Documents Electronically Extracted from a  
Library of Electronically Searchable Documents**

Inventor(s): **Narayan Srinivasa, et al.**

Attorney Docket No.: 1044-401-01

I hereby certify that the following attached correspondence comprising:

100 pages of Specification

11 pages of Drawing (Figures 1-14)

Combination Declaration & Power of Attorney

Proof of Mailing

Information Disclosure Statement and PTO forms SB/08 A/B

Assignment and Recordation Cover

Self addressed postcard

Checks in the amount of \$3,440.00

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

BOX: PATENT APPLICATION

Assistant Commissioner of Patents

Washington, D.C. 20231

Express Mail Label Number: **ET588797890US**

Date of Deposit: December 19, 2001



Michelle R. Manumaleuna

LAW OFFICES OF  
**GOODMAN & LEACH, LLP**  
BUSINESS & INTELLECTUAL PROPERTY MATTERS

ERIC J. GOODMAN  
ERIC D. LEACH  
WILLIAM C. CRAY

*Across from the United States Federal Courthouse:*  
414 W. FOURTH STREET, SUITE A  
SANTA ANA, CALIFORNIA 92701

TELEPHONE (714) 836-0200  
FACSIMILE (714) 836-0400  
WWW.GOODMANLEACH.COM

Via: Express Mail

Box: PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

Dear Commissioner:

Enclosed is a patent application for: Utility Patent

Applicant(s): **Narayan Srinivasa, et al.**

Titled: **Method and Apparatus for Electronically Extracting Documents Potentially Containing  
Application Specific Multidimensional Information from a Library of Searchable Documents**

Attorney Docket No.: 1044-401-01

This application comprises:

100 pages of Specification

11 sheet of drawing (Fig.'s 1-14)

Utility Application Transmittal

Fee Transmittal

Combination Declaration & Power of Attorney

Assignment(s) and Recordation Cover

Information Disclosure Statement and PTO Forms SB/08 A/B

Certificate of Mailing By Express Mail

Self addressed postcard

Regards,



William C. Cray

Registration No. 27,627

WCC/mrm

enclosures